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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 1400.1D**
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Request Notification of Change

 (NASA Only)**Subject: NASA Directives Procedural Requirements, with Change 3, dated 11/26/2007****Responsible Office: Office of Institutions and Management**[| TOC](#) | [ChangeHistory](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [AppendixA](#) |
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CHAPTER 2. Responsibilities

2.1 Administrator

2.1.1 Only the Administrator is authorized to approve NPDs.

2.2 Deputy Administrator

2.2.1 The Deputy Administrator, or designee, serves as the Agency-level Directives Resolution Official. The Agency-level Directives Resolution Official resolves impasses such as nonconcurrences and other issues that cannot be resolved at the organizational level.

2.3 Associate Administrator for Institutions and Management

2.3.1 The Associate Administrator for Institutions and Management has overall management responsibility for the NASA Directives System.

2.4 OICs of Headquarters Offices

2.4.1 OICs of Headquarters Offices determine their organization's need for Agency-level directives. OICs ensure staff responsibilities are assigned to create or revise a directive, submit the directive for official review, and secure concurrences through NODIS.

Note: OICs of Headquarters Offices are listed in NPD 1000.3, The NASA Organization.

2.4.2 OICs of Headquarters Offices ensure that Agency-level directives under their responsibility are reviewed for continuing need, applicability, and accuracy at a frequency not to exceed 5 years; cancel Agency-level directives when they are no longer needed; and verify compliance with the requirements contained in Agency-level directives under their responsibility.

Note: Directives considered "under their responsibility" for OICs of Headquarters Offices include all directives where the Responsible Office reports to the OIC of the Headquarters Office.

2.4.3 OICs of Headquarters Offices designate a Directives Manager(s) to assist, guide, and monitor the organization's directives activities.

2.4.4 OICs of Headquarters Offices are responsible for determining which Agency-level directives their office should review during the official review and approval process.

2.4.5 OICs of Headquarters Offices are responsible for evaluating and dispositioning all waivers to Agency-level

directives under their responsibility in accordance with the process described in paragraph 4.2 of this NPR.

2.4.6 OICs of Headquarters Offices are responsible for ensuring that their employees comply with NASA directives.

2.5 Center Directors

2.5.1 Center Directors are responsible for ensuring compliance with NASA directives and ensuring that Center directives do not conflict with material provided by Agency-level directives.

2.5.2 Center Directors are responsible for designating a Center Directives Manager as a point of contact to assist, guide, and monitor directives activities.

2.5.3 Center Directors, or designees, are responsible for determining which Agency-level directives their Center should review during the official review and approval process.

2.5.4 Center Directors, or designees, are the signature authority for Center directives.

2.6 NASA General Counsel

2.6.1 The NASA General Counsel is responsible for reviewing for compliance with the law, and commenting on, all Agency-level directives during the process for coordinating and approving new Agency-level directives, updating existing Agency-level directives, and establishing Agency-level interim directives. The NASA General Counsel is responsible for concurring in Agency-level directives prior to signature by the approving NASA official.

2.7 Inspector General

2.7.1 The Inspector General, in accordance with the Inspector General Act of 1978, as amended, is responsible for reviewing and commenting on each Agency-level directive during the official review and approval process to identify its possible impact on effectiveness and efficiency in the administration and operations of NASA programs and preventing fraud, waste, and abuse in NASA programs.

2.8 NASA Chief Financial Officer

2.8.1 The NASA Chief Financial Officer is responsible for reviewing and concurring on all Agency-level directives to ensure proper financial consideration.

2.9 Assistant Administrator for Human Capital Management

2.9.1 The Assistant Administrator for Human Capital Management coordinates the review of proposed Agency-level directives with the national offices of Federal labor organizations and is responsible for reviewing and concurring on all Agency-level directives.

2.10 Assistant Administrator for Internal Controls and Management Systems

2.10.1 The Assistant Administrator for Internal Controls and Management Systems is responsible for the management and maintenance of the NASA Directives System and for establishing and enforcing the policies and procedures in NPD 1400.1 and this NPR.

2.10.2 The Assistant Administrator for Internal Controls and Management Systems is responsible for verifying compliance to the requirements contained in this NPR by:

- a. Monitoring the processing of each Agency-level directive through the NODIS and the subsequent signature process to ensure that all process steps and requirements of this NPR have been completed correctly by the process participants.
- b. Reviewing the contents of each Agency-level directive during the NODIS review and verifying that the content requirements have been met.
- c. Conducting periodic spot-checks to review Center documentation and implementation of Center-specific verification activity.

2.10.3 The Assistant Administrator for Internal Controls and Management Systems is responsible for assisting and supporting the Deputy Administrator in the role as Agency-level Directives Resolution Official.

2.10.4 The Assistant Administrator for Internal Controls and Management Systems is responsible for verifying the completeness of the Agency-level directive signature package when it goes to the responsible NASA official for signature. This includes:

- a. Ensuring all comments received from reviewing organizations during the review and approval process for Agency-level directives are dispositioned and the dispositions are provided to the reviewing organizations.
- b. Ensuring that an explanation for nonconcurrences is documented and available in the directive signature package.

2.10.5 The Assistant Administrator for Internal Controls and Management Systems is responsible for concurring on the Agency-level directive when submitted for signature.

2.10.6 The Assistant Administrator for Internal Controls and Management Systems is responsible for tracking, monitoring, and reporting activities associated with processing Agency-level directives.

2.10.7 The Assistant Administrator for Internal Controls and Management Systems is responsible for ensuring document control for Agency-level directives through maintenance of the NODIS library, the NODIS database, and signed approval packages.

2.10.8 The Assistant Administrator for Internal Controls and Management Systems is responsible for training and assisting Responsible Offices for Agency-level directives and all Directives Managers in the performance of their duties.

2.10.9 The Assistant Administrator for Internal Controls and Management Systems is responsible for monitoring identified conflicts among directives to assure resolution.

2.10.10 The Assistant Administrator for Internal Controls and Management Systems is responsible for maintaining and disposing of all official files associated with approved Agency-level directives in accordance with NPR 1441.1, NASA Records Retention Schedules.

2.11 Responsible Office

2.11.1 The Responsible Office is responsible for preparing NASA directives in accordance with the requirements of this NPR.

2.11.2 For NPDs and NPRs, the Responsible Office is responsible for submitting, at the time of request for official review and approval, an explanation of the potential impact of implementing the directive, in terms of technical, financial, and human resources, and potential for unintended consequences (see paragraph 4.3.5.1.f).

Note: This does not require a complete analysis, but rather a general statement of the impact of the requirements. The desired outcome is to promote understanding of the cost and impact of requirements and discussion between the people who generate the requirements and the people who will have to implement the requirements. Ideally, the potential impact of requirements is factored into the decision by the Responsible Office on whether to propose the NPD or NPR, the concurring officials on whether to concur in the NPD or NPR, and the approving official on whether or not to approve the NPD or NPR.

2.11.3. The Responsible Office is responsible for maintaining currency for the directives they publish and, at a minimum, reviewing its directives for accuracy and continuing need at a frequency not to exceed 5 years.

2.11.4 The Responsible Office is responsible for verifying compliance with the requirements contained in its directives at a frequency not to exceed 5 years.

2.12 Directives Managers

2.12.1 The Directives Managers are the points of contact in each Headquarters organization and NASA Center for matters pertaining to NASA Directives. They are responsible for supporting OICs of Headquarters Offices, Headquarters senior managers, and Center Directors with directives activities and issues. This includes assuring that directives are prepared and coordinated in accordance with the requirements in this NPR.

2.12.2 Specific Directives Managers' responsibilities include:

- a. Managing the directives management process at their location.
- b. Providing assistance to personnel in accessing the NODIS Library.
- c. Coordinating the official review of directives at their location.
- d. Determining who should review the document and ensuring that the reviewer(s) has access to the NASA directive being reviewed and the NHQ Form 184 that contains the explanation of potential impact (for Agency-level directives).
- e. Consolidating the reviewer(s)' comments into the official response.
- f. Documenting and initiating resolution of conflicts among directives (Agency-level and Center) identified by or

reported to the Directives Manager.

Note: Conflict resolution is initiated by contacting the Directives Manager of the Responsible Organization(s) for the directive(s) in conflict and notifying the Office of Internal Controls and Management Systems.

2.12.3 In addition to the responsibilities listed in paragraph 2.12.2, the following responsibilities are applicable to Center Directives Managers only.

- a. Managing and maintaining a current online repository of Center directives.
- b. Maintaining a master list of Center directives.
- c. Ensuring Center directives are approved and published in accordance with established procedures.
- d. Tracking, monitoring, and reporting activities associated with processing NASA directives.
- e. Training and assisting directives writers and reviewers in the performance of their duties.
- f. Maintaining and disposing of case files for all Center directives in accordance with NPR 1441.1, NASA Records Retention Schedules (see paragraph 4.7).

2.13 Headquarters Quality Control Liaisons

2.13.1 The Quality Control Liaison for the Responsible Office is responsible for reviewing Agency-level directive signature packages and initialing the NHQ Form 117, Action Document Summary, before forwarding the Agency-level directive for final processing.

2.14 Agency Records Officer

2.14.1 The Agency Records Officer in the Office of the Chief Information Officer is responsible for coordinating with the Office of Internal Control and Management Systems, the Executive Secretariat, and the Office of the General Counsel on decisions affecting the numbering of NASA directives in accordance with the 10 subject categories defined within NPR 1441.1, NASA Records Retention Schedules, paragraphs 1.3, 1.8, and Appendix D.

2.15 Headquarters Executive Secretariat

2.15.1 The Headquarters Executive Secretariat is responsible for the final quality review of Agency-level directives prior to approval and signature by the Agency official. The Executive Secretariat is responsible for providing all editorial changes needed for conformance with NPR 1450.10, NASA Correspondence Management and Communications Standards and Style, and assuring incorporation by the Responsible Office.

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